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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/776,649	02/10/2004	1644	770	ABXPF1 DIV2	48	18	3

CONFIRMATION NO. 5045

1473  
FISH & NEAVE  
1251 AVENUE OF THE AMERICAS  
50TH FLOOR  
NEW YORK, NY 10020-1105

**RECEIVED**

FILING RECEIPT



\*OC000000012595860\*

MAY 17 2004

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FISH & NEAVE - PATENT DEPT.  
REFERRED TO SUP  
NOTED BY \_\_\_\_\_

Date Mailed: 05/11/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Douglas Charles Hanson, Niantic, CT;  
Mark Joseph Neveu, Hartford, CT;  
Eileen Elliot Mueller, Old Lyme, CT;  
~~Jeffrey Herbert Hanke~~, Reading, MA;  
Steven Christopher Gilman, Cambridge, MA;  
C. Geoffrey Davis, Burlingame, CA;  
Jose Ramon Corvalan, Foster City, CA;

Jeffrey Herbert  
Hanke

**Domestic Priority data as claimed by applicant**

This application is a DIV of 10/612,497 07/01/2003  
which is a DIV of 09/472,087 12/23/1999 PAT 6,682,736  
which claims benefit of 60/113,647 12/23/1998

**Foreign Applications**

If Required, Foreign Filing License Granted: 05/11/2004

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**Title**

Human monoclonal antibodies to CTLA-4

**Preliminary Class**

424

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

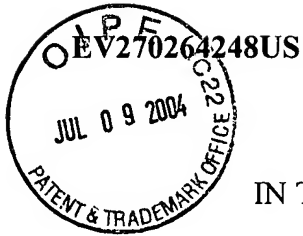
The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



ABX-PF1 DIV2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner : Not Yet Assigned  
Group Art Unit : 1644  
Applicants : Douglas Charles Hanson et al.  
Application No. : 10/776,649  
Confirmation No. : 5045  
Filed : February 10, 2004  
For : HUMAN MONOCLONAL ANTIBODIES TO CTLA-4

New York, New York  
July 9, 2004

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

This is to request correction of the Filing Receipt issued in connection with the above-identified application.

In the issued Filing Receipt, one of the applicants' name was incorrectly recorded as "Jeffrey Hebert Hanke." As indicated in the unexecuted Declaration and Power of Attorney filed February 10, 2004 and the enclosed Declaration and Power of Attorney, the applicant's name should be "Jeffrey Herbert Hanke" (See Tab A).

Applicants request that the Filing Receipt be corrected as indicated on the enclosed copy (See Tab B), and a new receipt be issued.

Respectfully submitted,



---

Jane T. Gunnison (Reg. No. 38,479)

Li Su (Reg. No. 45,141)

Attorneys for Applicants

c/o FISH & NEAVE

Customer No. 1473

1251 Avenue of the Americas

New York, New York 10020-1104

Tel.: (212) 596-9000

Fax.: (212) 596-9090



ABX/PF1 DIV2

**DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

HUMAN MONOCLONAL ANTIBODIES TO CTLA-4

the specification of which

(check one) ☒ [X] is attached hereto

☐ [ ] was filed on \_\_\_\_\_ as Application Serial No. \_\_\_\_\_ and  
was amended on \_\_\_\_\_  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I do not know and do not believe that the invention was ever patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application.

I do not know and do not believe that the invention was in public use or on sale in the United States of America more than one year prior to this application.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known by me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EV270264398US

Prior Foreign Application(s)

Priority  
Claimed

<u>                    </u> (Number)	<u>                    </u> (Country)	<u>                    </u> (Day/Month/Year Filed)	<u>    </u> <u>    </u> Yes No
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I hereby claim under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

<u>60/113,647</u>	<u>12/23/1998</u>	<u>                                    </u>
(Appln. Serial No.)	(Filing Date)	(Status)(patented, pending, abandoned)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known by me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>10/612,497</u>	<u>07/01/2003</u>	<u>Pending</u>
(Appln Serial No.)	(Filing Date)	(Status)(patented, pending, abandoned)

<u>09/472,087</u>	<u>12/23/1999</u>	<u>Patented (U.S. Patent. No. 6,682,736)</u>
(Appln Serial No.)	(Filing Date)	(Status)(patented, pending, abandoned)

As a named inventor, I hereby appoint the following attorneys or agents to prosecute this application and transact all business in the United States Patent and Trademark Office connected therewith:

<u>James F. Haley, Jr. (27,794)</u>
<u>Jane Gunnison, (Reg. No. 38,479)</u>
<u>Z. Ying Li (Reg. No. 42,800)</u>
<u>Li Su (Reg. No. 45,141)</u>

Send correspondence to: Jane T. Gunnison  
FISH & NEAVE  
1251 Avenue of the Americas  
New York, New York 10020-1104

Direct telephone calls to: Jane T. Gunnison  
(212) 596-9000

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor Douglas Charles Hanson  
Residence 3 Acorn Drive, Niantic, CT 06357, U.S.A  
Citizenship United States  
Post Office Address 3 Acorn Drive, Niantic, CT 06357, U.S.A

First Inventor's signature \_\_\_\_\_  
Date \_\_\_\_\_

Full name of second joint inventor Mark Joseph Neveu  
Residence 45 Grandview Terrace, 3<sup>rd</sup> Floor, Hartford, CT 06114, U.S.A.  
Citizenship United States  
Post Office Address 45 Grandview Terrace, 3<sup>rd</sup> Floor, Hartford, CT 06114, U.S.A

Second Inventor's signature \_\_\_\_\_  
Date \_\_\_\_\_

Full name of third joint inventor Eileen Elliot Mueller  
Residence 4 Butterwick Lane, Old Lyme, CT 06371, U.S.A.  
Citizenship United States  
Post Office Address 4 Butterwick Lane, Old Lyme, CT 06371, U.S.A.

Third Inventor's signature \_\_\_\_\_  
Date \_\_\_\_\_

Full name of fourth inventor Jeffrey Herbert Hanke  
Residence 1 Jefferson Circle, Reading, MA 01867, U.S.A.  
Citizenship United States  
Post Office Address 1 Jefferson Circle, Reading, MA 01867, U.S.A.

Fourth Inventor's signature \_\_\_\_\_  
Date \_\_\_\_\_

Full name of fifth inventor Steven Christopher Gilman  
Residence 40 Prentiss Street, Cambridge, MA 02140, U.S.A.  
Citizenship United States  
Post Office Address 40 Prentiss Street, Cambridge, MA 02140, U.S.A.

Fifth Inventor's signature \_\_\_\_\_  
Date \_\_\_\_\_

Full name of sixth inventor C. Geoffrey Davis  
Residence 1132 Vancouver Avenue, Burlingame, CA 94010, U.S.A.  
Citizenship United States  
Post Office Address 1132 Vancouver Avenue, Burlingame, CA 94010, U.S.A.

Sixth Inventor's signature \_\_\_\_\_  
Date

Full name of seventh inventor Jose Ramon Corvalan  
Residence 125 Williams Lane, Foster City, CA 94404, U.S.A.  
Citizenship Chile  
Post Office Address 125 Williams Lane , Foster City, CA 94404, U.S.A.

Seventh Inventor's signature \_\_\_\_\_  
Date



ABX-PFI

**DECLARATION AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**HUMAN MONOCLONAL ANTIBODIES TO CTLA-4**

the specification of which:

☐ is attached hereto.

☐ was filed on \_\_\_\_\_, and identified as Attorney Docket No. \_\_\_\_\_.

☒ was filed on December 23, 1999, as Serial No. 09/472,087.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Sections 119 (a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Applications (s)

Priority Claimed

None  
(Number) (Day/Month/Year Filed)

Yes \_\_\_ No \_\_\_ (Country)

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:

Provisional Application (s)

Priority Claimed

60/113,647 12/23/98  
(Number) (Day/Month/Year Filed)

Yes X No \_\_\_ (Country)

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

None  
(Application Serial No.) (Filing Date) (Status - patented, pending, abandoned)

I hereby appoint the following attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Christopher A. Hare, Reg. No. 37,637.

Direct all telephone calls to Christopher A. Hare.

Address all correspondence to:

Christopher A. Hare  
Patent Counsel  
Abgenix, Inc.  
7601 Dumbarton Circle  
Fremont, CA 94555  
phone: (510) 608-6533  
fax: (510) 608-6511

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of  
first inventor:

Douglas Charles Hanson

Inventor's signature:

Douglas C. Hanson

Date:

Friday March 31, 2000

Residence:

3 Acorn Drive, Niantic, CT 06357

Citizenship:

US

Post Office Address: 3 Acom Drive, Niantic, CT 06357

Full name of  
second inventor: Mark Joseph Neveu

Inventor's signature: Mark Joseph Neveu

Date: 4/200

Residence: 18 Greenbriar Court, Mystic, CT 06355

Citizenship: US

Post Office Address: 18 Greenbriar Court, Mystic, CT 06355

Full name of  
third inventor: Eileen Elliott Mueller

Inventor's signature: E E Mueller

Date: 3-31-00

Residence: 4 Butterwick Lane, Old Lyme, CT 06371

Citizenship: US

Post Office Address: 4 Butterwick Lane, Old Lyme, CT 06371

Full name of  
fourth inventor: Jeffrey Herbert Hanke

Inventor's signature: Jeffrey Herbert Hanke

Date: 3-27-00

Residence: 1 Jefferson Circle, Reading MA 01867

Citizenship: US

Post Office Address: 1 Jefferson Circle, Reading MA 01867

Full name of  
fifth inventor: Steven Christopher Gilman

Inventor's signature: 

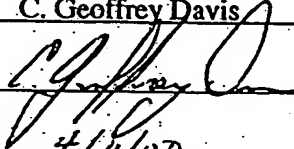
Date: 3-31-00

Residence: 118 Sill Lane, Old Lyme, CT 06371

Citizenship: US

Post Office Address: 118 Sill Lane, Old Lyme, CT 06371

Full name of  
sixth inventor: C. Geoffrey Davis

Inventor's signature: 

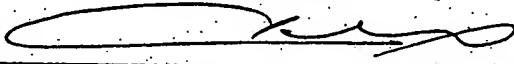
Date: 7/14/00

Residence: 1132 Vancouver Avenue, Burlingame, CA 94010

Citizenship: US

Post Office Address: 1132 Vancouver Avenue, Burlingame, CA 94010

Full name of  
seventh inventor: Jose Ramon Corvalan

Inventor's signature: 

Date: 4/12/00

Residence: 125 Williams Lane, Foster City, CA 94404

Citizenship: Chile

Post Office Address: 125 Williams Lane, Foster City, CA 94404